



Atty Docket: 4652/1A

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11-21-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of : Agarwal et al.
Serial No. : 10/026,358 Examiner:
Filed : Dec., 24, 2001 Group Art Unit: 2164
Title : Method And System For Computer-Implemented Trading Of New
Issue Debt Securities

Commissioner for Patents
Washington, D.C. 20231

IDS TRANSMITTAL LETTER

Sir:

Applicants respectfully submit the enclosed information disclosure statement including (1) a citation list, and (2) a copy of each reference cited. The Examiner is requested to consider the enclosed documents, make them of record, and indicate his or her consideration of the documents by initialing each of the references on the enclosed citation list. Please return a copy of the initialed list to the applicants' undersigned Attorney.

This IDS is being filed prior to the mailing date of a first office action.

Statement under 37 CFR 1.97(e)(1)

Each item of information contained in the IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the IDS.

Although no fee is believed to be due, the Commissioner is hereby authorized to charge any deficiency in fees or fees that may be required, or to credit any overpayments, to the undersigned attorney's Deposit Account No. 02-4270.

Respectfully submitted,

Dated: 11-6-02

Ralph F. Hoppin
Ralph F. Hoppin, Reg. No. 38,494
Attorney for Applicant
BROWN RAYSMAN MILLSTEIN
FELDER & STEINER LLP
900 Third Avenue
New York, NY 10022
(212) 895-2000

I hereby certify that this paper is being deposited this date with the
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Sheet 1 of 1

INFORMATION DISCLOSURE CITATION LIST	Atty. Docket No.: 4652/1A	Application Serial No.: 10/026,358
	Applicants: Agarwal et al.	
	Filing Date: Dec. 24, 2001	Group Art Unit: 2164

U.S. PATENT DOCUMENTS

Exam. Init		Document Number	Date	Name	Class	Subclass
		6,029,146	2/22/00	Hawkins et al.		

FOREIGN PATENT DOCUMENTS

Exam. Init.		Document Number	Date	Country	Class	Translation

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

Examiner:

Date Considered:

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